

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
Attorney Docket No. 12640US01

PATENT

IN THE APPLICATION OF:

Robert Carey
Greg McIntire

Serial No.: 09/480,724

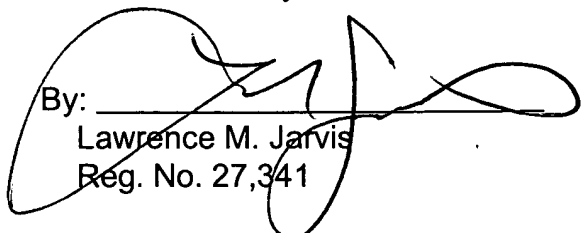
Filed: March 15, 1999

For: METHOD OF SELECTING
SECURITIES FOR A PORTFOLIO



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Asst. Commissioner for Patents, Washington, D.C. 20231, on May 18, 2000.

By: 
Lawrence M. Jarvis
Reg. No. 27,341

**RESPONSE TO THE NOTICE TO FILE MISSING PARTS
OF APPLICATION MAILED FEBRUARY 16, 2000**

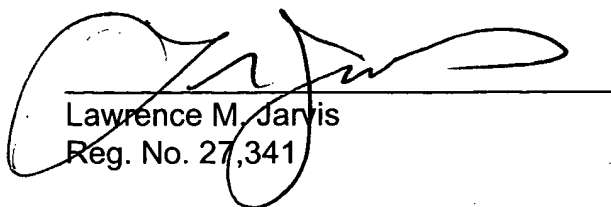
Asst. Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the notice mailed February 16, 2000, enclosed please find a signed Declaration and Power of Attorney, and Verified Statements (Declaration) Claiming Small Entity Status. The requisite fee of \$410.00 - \$345.00 filing fee and \$65.00 for missing parts fee accompanies this Response.

Respectfully submitted,

Date: May 18, 2000


Lawrence M. Jarvis
Reg. No. 27,341

McAndrews, Held & Malloy, Ltd.
500 W. Madison Street, 34th Floor
Chicago, Illinois 60661
(312) 707-8889



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
Attorney Docket No. 12640US01

PATENT

IN THE APPLICATION OF:

Robert Carey
Greg McIntire

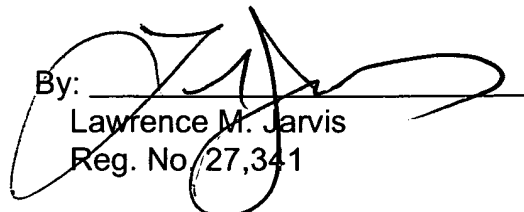
Serial No.: 09/480,724

Filed: January 7, 2000

For: METHOD OF SELECTING
SECURITIES FOR A PORTFOLIO

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Asst. Commissioner for Patents, Washington, D.C. 20231, on May 18, 2000.

By: 
Lawrence M. Jarvis
Reg. No. 27,341

TRANSMITTAL LETTER

Asst. Commissioner for Patents
Washington, DC 20231

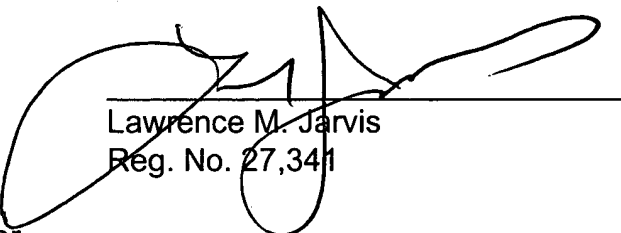
Sir:

In regard to the above-identified application:

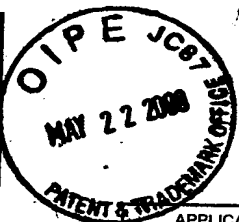
1. We are transmitting herewith the attached **RESPONSE TO THE NOTICE TO FILE MISSING PARTS OF APPLICATION MAILED FEBRUARY 16, 2000; DECLARATION AND POWER OF ATTORNEY; VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS; PETITION FOR A TWO MONTH EXTENSION OF TIME; and PTO FORM 1533.**
2. An additional fee of \$600.00 is required and is enclosed.
3. Please charge any additional fees or credit overpayment to the deposit account of McAndrews, Held & Malloy, Ltd, Account No. 13-0017.

Respectfully submitted,

Date: May 18, 2000


Lawrence M. Jarvis
Reg. No. 27,341

McAndrews, Held & Malloy, Ltd.
500 W. Madison Street, 34th Floor
Chicago, Illinois 60661
(312) 775-8000



1264048015 (37)

**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NO./TITLE

09/480,724

01/07/00

CAREY

R

12640US01

0232/0216
MCANDREWS HELD & TILLEY LTD
500 WEST MADISON STREET
34TH FLOOR
CHICAGO IL 60606

DATE MAILED:

02/16/00

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a

☐ small entity (statement filed) ☒ non-small entity is \$ 820.

☒ 1. The statutory basic filing fee is:

- ☒ missing.
☐ insufficient.

Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ _____ for _____ total claims over 20.

\$ _____ for _____ independent claims over 3.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

05/24/2000 WKORONA 00000011 09480724

02 FC:201
03 FC:205

345.00 OP
65.00 OP